

11/02/01

J1025 U.S. PTO

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**Utility
Patent Application
Transmittal**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket Number UC 17
First Named Inventor HUANG ET AL.
Title METHODS OF TREATING DISORDERS RELATED TO APOE
Express Mail Label No. EL923479068US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:
Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification (preferred arrangement set forth below)
Total Pages **69**

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claims(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113)
Total Sheets **8**

5. Oath or Declaration
Total Pages **1**

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d))

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet, See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☒ Computer Readable Form (CRF)

b. Specification Sequence Listing on:
i. ☒ CD-Rom or CD-R (2 copies); or
ii. ☒ Paper

c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents(s))

10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) (should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent

17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior Application Information: _____ Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

Fee Calculation

| For | #Filed | # Allowed | #Extra | Rate | Fee |
|--|--------|-----------|--------|------|----------|
| Total Claims | 31 | 20 | 11 | x 9 | \$99.00 |
| Indep. Claims | 13 | 3 | 10 | x 42 | \$420.00 |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> | | | | | |
| TOTAL CLAIM FEES | | | | | \$519.00 |
| BASIC FILING FEE | | | | | \$370.00 |
| OTHER FEE (specify purpose) _____ | | | | | |
| TOTAL | | | | | \$889.00 |

The Commissioner is authorized to charge any fees which may be required, or credit any overpayment to Deposit Account 50-0815. If additional fees are required, including extensions of time, please consider this a pre-titition therefore. A duplicate copy of this sheet is enclosed.

Request that Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)

19. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

Warning

An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.

19. CORRESPONDENCE ADDRESS



Customer Number or
Bar Code Label



or



Correspondence Address below

| | | | | | | | |
|-------------------------|--|--------------------------------|--|------------------|--|---------------------------------|--|
| Name (Print/Type) | | Paula A. Borden | | Registration No. | | 42,344 | |
| Signature | | | | Date | | 11-02-2001 | |
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| zip | | | | | | 94025 | |

11-02-2001 11:00:00 AM

**CERTIFICATION REGARDING SEQUENCE
LISTING**


| | |
|----------------------|-----------------------------|
| Application Number | Unassigned |
| Confirmation Number | N/A |
| Filing Date | Herewith (November 2, 2001) |
| First Named Inventor | Yadong Huang et al. |
| Examiner | Unassigned |
| Group Art | Unassigned |
| Attorney Docket No. | UCAL217 |

ADDRESS TO: Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I hereby certify that the enclosed Sequence Listing is being submitted in paper copy and on a computer-readable diskette, and that the content of the paper and computer readable copies are the same.

I hereby certify that the enclosed submission includes no new matter.

| | | | | |
|-------------------------|--|-------|------------|---------------------------------|
| Signature and Reg. No. |  | Date | 11-02-2001 | |
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